

Records Liaisons

For Use by State Agencies

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NC DEPARTMENT OF
NATURAL AND CULTURAL RESOURCES

In North Carolina, General Statute 132-1(a) provides a broad definition of public records:

"Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

This definition of public records carries with it the right of the public to access these public records, which necessitates good records management. For more information about public records law, we have a short video available at <https://www.youtube.com/watch?v=GcxoZlasEyK&feature=youtu.be>.

In state agencies where the Chief Records Officer does not have subject matter expertise about all the records created by the agency or where the agency is divided into multiple divisions, it can be useful to have Records Liaisons. These Records Liaisons should be familiar with all the records created by and maintained in their department or office. Ideally, this responsibility will be included in a work plan so that specific tasks can be defined and evaluated and appropriate time allocated to the work.

For someone new to the position of Records Liaison, a good starting point would be a file inventory or a file plan. Collecting information about the records of your office will enable you to have a firmer grasp on these questions:

- What records, if any, are submitted to your office?
- What records are created in your office?
 - What functions of state government are being fulfilled through the creation of these records?
 - If there are records that are circulated to multiple persons, which person/position is responsible for maintaining the record copies?
- What records, if any, are submitted to another agency? Does that agency then bear the responsibility for retention of these records, or must your office also retain copies for a specified period of time?
- What records, if any, are transferred to the State Records Center for temporary storage and eventual destruction?
- What records, if any, are transferred to the State Archives for permanent retention?

A new records liaison should also find out what written guidance and/or policies your agency may have related to records management.

A number of resources have been created by the Government Records Section at the State Archives of North Carolina to facilitate the work of records liaisons.

- *Functional Schedule for North Carolina State Agencies*, which applies to all state agencies (<https://archives.ncdcr.gov/government/retention-schedules/state-agency-schedules>)
- series of 4 tutorials about the *Functional Schedule for North Carolina State Agencies* (<https://www.youtube.com/playlist?list=PL2w9jUBdiGKsbT8SufjAKktM40Es6Az8->)
 1. provides an overview of the functional analysis initiative

2. describes the 16 functions of state government
 3. explains the structure of the functional schedule
 4. provides guidance on transitioning to the use of functional schedules
- Interactive Record Type Guides that help identify similar record types that appear in various parts of the *Functional Schedule for North Carolina State Agencies*, depending on why they are created or received (<https://archives.ncdcr.gov/documents/record-type-guides>)
 - sample file inventory (see Appendix A)
 - sample file plan (<https://archives.ncdcr.gov/documents/state-agency-rm>)
 - appendices to the *Functional Schedule for North Carolina State Agencies*, which list all records eligible for transfer to the State Records Center for temporary storage or to the State Archives for permanent retention (<https://archives.ncdcr.gov/documents/functional-schedule-state-agencies>)
 - records transfer agreements provided annually to Chief Records Officers, which summarize records eligible for transfer along with any transfers that occurred during the previous fiscal year
 - Boxing Records tutorial that walks state agencies through the process of transferring records to the State Records Center for storage (<https://youtu.be/ogAyKoQ3MzE>)
 - Capstone tutorial that provides an overview of the State Archives of North Carolina's methodologies and processes for email management and archiving for state agencies (<https://www.youtube.com/watch?v=cDmgRHMUfPE>)
 - sample destructions log (<https://archives.ncdcr.gov/documents/state-agency-rm>)
 - Record Series Evaluation Request, which can be used to request changes to the Functional Schedule or authorizations for records transfers (<https://archives.ncdcr.gov/documents/state-agency-rm>)
 - Sample Electronic Records and Imaging Policy for State Agencies (<https://archives.ncdcr.gov/documents/state-agency-rm>)
 - File-naming guidelines (<https://archives.ncdcr.gov/documents/best-practices-file-naming>)

Records Liaisons should have a good understanding of the records being created and received by their division or office. As Records Liaisons get more familiar with their position, here are some questions they should be able to answer for their colleagues:

- Who is my records analyst at the State Archives?
- Who is my Chief Records Officer?
- Who is our Public Information Officer?
- Where is our retention schedule?
- How do I request materials from the State Records Center if I need to box records for transfer?
- How do I determine whether records are eligible for transfer to the State Records Center, either for temporary storage or for transfer to archival custody? What if I need to request the addition of a new series for transfer?
- How do I request pickup of eligible records to transfer to the State Records Center?
- How do I transfer archival electronic records to the State Archives?
- How do I request agency records that have been temporarily stored at the State Records Center?
- Whom can I contact to find out if there is a legal, audit, or public records request hold on records?
- How do I get files shredded, once they have met their required retention?

- Who is responsible for maintaining the destructions log for my division/office? Who can authorize destructions?
- How does the State Records Center secure permission to destroy our records that have met their required retention?
- Does my division/office have reports that need to transfer to the State Library?
- What governing/advisory bodies are part of my division/office and how are their minutes scheduled?
- Does my division/office have an electronic records policy?
- Which positions in my division/office generate/receive archival email?
- For records where numerous copies are circulated, who is responsible for retaining the record copy?
- Does my division/office have legacy records stored at the State Records Center that need to be reassessed to determine their appropriate disposition?

Some of these questions can only be answered within your agency, but here are some pointers to information that is available through DNCR's website.

- Records Analysts for State Agencies (<https://archives.ncdcr.gov/government/records-management-services-and-training/chief-records-officers>)
- Chief Records Officers for State Agencies (<https://archives.ncdcr.gov/government/records-management-services-and-training/chief-records-officers>)
- No longer does each agency have its own separate records retention schedules. Since December 2017, all state agencies have used the Functional Schedule for North Carolina State Agencies. Based on the General Statutes and agency mission statements, 16 functions carried out by state government agencies were identified. Subject matter experts and other stakeholders vetted each schedule. All parts of the schedule are available as PDF files at <https://archives.ncdcr.gov/documents/functional-schedule-state-agencies>. A table that identifies which functions are carried out by each agency is available at <https://archives.ncdcr.gov/documents/agency-functions>.
- Transferring Records (<https://archives.ncdcr.gov/government/state-records-center>) – including ordering supplies and requesting a pickup. See Appendix B for more instructions.
- Records Series Evaluation Form (<https://archives.ncdcr.gov/documents/state-agency-rm>), which can be used (1) to request an addition of a new record type to the functional schedule, (2) to request an amendment to an existing record type on the functional schedule, or (3) to request authorization of a new records series for transfer
- Digital File Transfer Guidelines (<https://archives.ncdcr.gov/documents/digital-file-transfer-guidelines>)
- Records Retrieval Form (<https://archives.ncdcr.gov/documents/rc-14-records-retrieval-form>), which is used for records in the agency's legal custody that are stored temporarily at the State Records Center or one of our other facilities
- See Appendix C for a sample form the State Records Center uses to secure permission to destroy records that have met their required retention.
- State Government Publications Clearinghouse at the State Library of NC (<https://statelibrary.ncdcr.gov/ghl/govt-pubs/for-agencies>) – see especially the Guidelines for State Agencies



- The minutes of Governing and Advisory Bodies are scheduled under the Governance function, RC No. 635.P. The official minutes from Group 1 entities transfer to the State Archives for permanent retention. Copies of minutes from Group 2 entities transfer to the State Records Center for permanent security storage, either on paper or microfilm (but the legal custody of the records remains with the agency). Group 3 minutes are retained permanently in office, though if an entity becomes defunct and is not absorbed by a successor organization, its minutes should transfer to the State Archives for permanent retention.
- The agency positions that have been appraised as Capstone positions (i.e., sending and receiving archival email) are listed in the appendix of the Agency Management function, RC No. 133.A Archival Correspondence (Capstone).

As a quick overview of steps to take to maintain a good Records Regimen, the Records Analysis Unit has developed a pamphlet about records activities that should become routine. The steps depicted on the following page can be led by the Records Liaison.



Records Regimen

Follow these steps on an annual basis
to keep your records in good shape



Plan

The first step in maintaining your records is to know what you have. Create (or update) a file plan for your office so you can evaluate what records are being created and received, what the required retentions are, and where the records are being stored.

Communicate

Talk to your colleagues. Find out if there are new records being created or received that are not already addressed on your file plan and the Functional Schedule for North Carolina State Agencies.



Organize

Encourage your colleagues to keep their records organized according to the file plan. Don't forget the electronic records, and use good filenaming practices to ensure those records are accessible.

Transfer

Take advantage of the services provided by the State Records Center. Arrange to transfer all records eligible for temporary storage or designated for permanent retention at the State Archives.



Purge

Get administrative support to conduct destruction days at least annually so records that have met their required retention can be appropriately destroyed.

For more assistance, contact the records analyst in the Government Records Section who works with your agency



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B. Transferring Records

At the beginning of each fiscal year, the records analyst for your agency sends your Chief Records Officer (CRO) a memorandum listing what record types on the functional schedule are eligible for transfer from your agency and what quantities transferred over the previous fiscal year. Here's the information included in this report:

July 1, 2019 - June 30, 2020

Item Disp Authority	Record ID	Title	Transferred Date	Extent
1226.60	SCHEDS-486	Industrial Claims (Closed) File		
1325.A	SCHEDS-365	Credit Union Charters and Amendments File		
1325.A	SCHEDS-4064	Credit Unions Organization File		
133.A	SR.37.1 (SCHEDS-299)	Secretary's Office: General Correspondence File		
133.P	SCHEDS-27104	Assistant Secretary of Workforce Solutions Correspondence File		

Those listed with an Item Disposition Authority ending in .A or .P are records that will be retained permanently at the State Archives. Those ending in a number, such as .10 or .30, will be stored temporarily at the State Records Center or one of our other storage facilities. (Be aware that the State Records Center can only store paper records temporarily; the only electronic records that may be transferred for storage are those designated as archival records.) The number listed in the Record ID column is the item number you need in order to get labels printed for your boxes. This transfer memorandum also includes a list of legacy records stored at the State Records Center that need to be reassessed to determine their appropriate disposition.

Each functional schedule has an appendix that also lists what records are eligible for transfer. For each record type, there are specific instructions (e.g., how long should the records be held in office before transferring) along with the series title and item number.

1325.A Licenses and Permits: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Commerce	Credit Union Charters and Amendments File	365
	Credit Union Organization File ¹	4064
Department of Environmental Quality	Animal Waste Permit File	46012
	Coastal Development Major Permits File	3191
	Known and Potential Contaminated Sites	47905
	Scrap Tires Sites Cleanup Program File	36379
	Septage Land Application Site and Detention and Treatment Facility Permits File	36352
	Solid Waste Facilities File	8102
	Solid Waste Facilities Post-Closure File	36343
	Solid Waste Non-Permitted File	8101
	State Cleanup Funds Reimbursement File	34051
Department of Health and Human Services	Active Radioactive Materials Licenses	7581
	Decommissioned Radioactive Waste Sites	50366
	Terminated Radioactive Materials Licenses	1750
	Terminated Reciprocal Recognition File	35908



C. Notice of Destruction of Records

When temporary records your agency has stored with the State Records Center have reached their required retention, your records analyst will send your CRO a request for authorization to destroy those records.

DEPARTMENT OF NATURAL AND CULTURAL RESOURCES
DIVISION OF ARCHIVES AND RECORDS
FORM RC-23X (Rev. 2016)
July 2, 2017

NOTICE OF DESTRUCTION OF RECORDS

Department of Health and Human Services
Division of Social Services
Personnel Section

Item 2101. Division of Social Services Inactive Personnel File
Disposition Instructions: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency in the State Records Center 25 additional years and then destroyed. Destroy records currently held in the State Records Center 30 years from date of record.

Effective Date: 7/10/2002

The records listed below have been held in the State Records Center for the time specified in your agency's retention and disposition schedule. If you AGREE, the records will be **DESTROYED AFTER 7/12/2017**. By agreeing, you affirm that the records have been released by your agency from all audits, litigations, or other administrative action and may be destroyed as scheduled. If, for good and sufficient cause, some or all of the records should be held for any further time periods, please explain below.

In either case, immediately return this form with your agreement with or non-concurrence for this scheduled action. Because space is at a premium in the State Records Center, your prompt reply is appreciated. By the provisions of our recycling contract, no charge is associated with this destruction.

NOTICE OF DESTRUCTION OF RECORDS
July 2, 2017
Department of Health and Human Services, Item 2101
Division of Social Services Inactive Personnel File

Database ID	Received at the SRC	Labels of Records	Storage Location	Date Eligible for Destruction	Number and Type of Boxes	Volume in Cubic Feet
37	1/10/1981	7/86-6/87	FST-14.D-5-7	7/1/2017	3 let	3.0
					Total =	3.0

Signature and Title of the Agency Representative

Date